

Summary of Changes
to
Procedure 1350.1
Audiovisual Records

Revised Version Issued as P 1350.1B

LM Procedure 1350.1A, Audiovisual Records of 7/18/07, has undergone revisions. The revised procedure includes updated references, responsibilities, definitions, and formatting. Please replace LM Procedure 1350.1A with LM Procedure 1350.1B.

U.S. Department of Energy Office of Legacy Management



Procedure: 1350.1B

Effective: 9/24/08

SUBJECT: AUDIOVISUAL RECORDS

1. PURPOSE. To provide instructions for the creation, maintenance and preservation, and disposition of audiovisual records.
2. CANCELLATION. Legacy Management (LM) Procedure 1350.1A, Audiovisual Records, dated 7/18/07
3. REFERENCES.
 - a. 44 United States Code 29-35, Records Management
 - b. 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Records Management
 - c. U.S. Department of Energy (DOE) Guide 1324.5B, Implementation Guide for 36 CFR Chapter XII – Subchapter B
 - d. DOE Order 243.1, Records Management Program
 - e. LM Procedure 200.2-2, Processing Internal Inactive Records for Storage
 - f. LM Procedure 200.4, Records Management
 - g. Managing Audiovisual Records: An Instructional Guide, 1999, National Archives and Records Administration (NARA)
 - h. Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records—Digital Photographic Records, NARA
 - i. Frequently Asked Questions (FAQ) About Digital Audio and Video Records, NARA

INITIATED BY: Office of Business Operations

NO. OF PAGES/ATTACHMENTS: 8 pages, 2 attachments

- j. Department of Defense (DoD) Standard (STD) 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard
- k. American National Standards Institute (ANSI) Standard ANSI IT9.6-1991, Photography – Photographic Films – Specifications for Safety Film, et. al.
- l. International Organization for Standards (ISO) ISO 18902, Imaging materials. Processed photographic films, plates and papers. Filing enclosures and storage containers, et. al.

4. DEFINITIONS.

- a. Audiovisual Equipment -- Equipment used for recording, producing, duplicating, processing, broadcasting, distributing, storing, or exhibiting audiovisual materials.
- b. Audiovisual Records -- Records in pictorial or aural form that include still and motion media, sound recordings, graphic works, mixed media, and related finding aids and production files.
- c. Central Files -- Files accumulated by several offices or organizational units and maintained and controlled in one location.
- d. Disposition -- The actions taken regarding records no longer needed for current Government business. These actions include transfer to agency storage facilities or Federal records centers, transfer from one Federal agency to another, transfer of permanent records to the National Archives, and disposal of temporary records. Disposition is the third stage of the records life cycle.
- e. Documentary Materials -- A collective term for records and nonrecord materials that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of the recording.
- f. Electronic Record -- Any information that is recorded in a form that only a computer can process and that satisfies the definition of a record.
- g. Electronic Recordkeeping System (ERKS) -- An electronic information system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition. An ERKS is certified according to DoD 5015.02-STD to ensure the records it maintains have sufficient authenticity and reliability to meet the agency's recordkeeping requirements.
- h. Inactive Records -- Records that must be retained, but are accessed infrequently. Also referred to as noncurrent records.

- i. Inactive Storage -- Secure rooms or buildings for the systematic storage and management of inactive records. Inactive storage areas should be secure enough to safeguard the records and should be equipped for easy storage and retrieval.
- j. LM Personnel -- Federal employees and contractor personnel associated with LM.
- k. Metadata -- Data describing stored data. Metadata describes the structure, content, context, and other characteristics of electronic records. Metadata is maintained in document profiles.
- l. National Archives and Records Administration (NARA) -- An independent Federal agency that provides guidance to Federal agencies on the management of records, determines the retention and disposition of records, stores agency records in records centers from which agencies can retrieve them, and preserves permanently valuable Federal records.
- m. Program Records Official (PRO) -- Individual who ensures that all LM records management practices are properly executed.
- n. Records -- All books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.
- o. Records Coordinators -- Personnel who work with the Records Liaison Officer (RLO) to provide support for LM records management activities.
- p. Records Liaison Officer (RLO) -- Individual(s) designated by the PRO to oversee the LM records management program in cooperation with the DOE Records Officer.
- q. Records Series -- Documents maintained as a collection because they relate to a particular subject or function, result from the same activity, document a specific transaction, take a particular form, or have some other relationship arising out of their creation, receipt, use, or access.
- r. Working Copies -- Duplicates of original media made to be used for reference or for duplication on a recurring or large-scale basis. These are not preservation master copies, which must be stored unused.

5. QUALITY CONTROL.

- a. The RLO shall review this procedure as necessary, but at least annually, to accommodate changing conditions within LM. The RLO also ensures compliance with applicable laws, regulations, and DOE requirements.
- b. The Records Coordinators ensure that audiovisual records are stored and protected from deterioration according to 36 CFR 1232, Audiovisual Records Management. Records Coordinators also periodically inspect audiovisual records for signs of deterioration.

6. RESPONSIBILITIES.

- a. The RLO, in providing for effective controls over the creation of records, is responsible for establishing appropriate criteria for the management of audiovisual records. As part of this responsibility, the RLO:
 - Ensures audiovisual records are created, maintained, and dispositioned in accordance with this procedure, all relevant NARA requirements, and the LM File Plan.
 - Reviews LM's audiovisual recordkeeping practices as necessary, but at least annually.
- b. Records Coordinators are responsible for:
 - Arranging and maintaining audiovisual records according to published LM records management procedures as listed in Section 3 and the LM File Plan.
 - Ensuring that descriptive and technical information (i.e., metadata) is collected for audiovisual records.
- c. LM personnel are responsible for:
 - Maintaining audiovisual materials according to published guidance.
 - Consulting with the RLO if they are uncertain about requirements (e.g., appropriate media, formatting, and image resolution) when creating or receiving audiovisual materials that may become records.

7. TRAINING REQUIREMENTS.

Personnel creating, maintaining and preserving, or dispositioning audiovisual records shall be cognizant of the applicable areas within this procedure and related DOE directives and NARA guidance.

8. DOCUMENT CONTROL.

- a. The Directives Manager shall maintain the official controlled version of this document in the LM ERKS.
- b. The Directives Manager shall place the most current version of this procedure on the LM Intranet in a read-only format.
- c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

The audiovisual records management process is illustrated in Attachment A. Attachment B. provides supplemental information regarding identification, treatment, and transfer of audiovisual records.

- a. Creating Audiovisual Records
 - (1) LM personnel consult with the RLO when creating or receiving audiovisual material that may become LM records.
 - (2) The RLO verifies that audiovisual materials are produced using appropriate media and processing. Specifically, the RLO ensures that LM personnel:
 - (a) Use high-quality equipment (e.g., cameras, audio recorders) to create audiovisual material. For example, digital cameras must be able to produce images of at least 6 megapixels.
 - (b) Use audiovisual media (e.g., magnetic tape, film stock, photographic paper) that meets professional, archival quality requirements (e.g., ANSI and ISO guidance). When making a record copy, do not record over previously recorded media (e.g., videocassettes, rewritable compact discs). Additionally, use media that can be duplicated without loss of resolution. (Avoid using consumer-grade video cassettes as originals.)
 - (c) Use specialized media processing services when possible. Specialized services follow manufacturer specifications to maximize the quality of audiovisual products produced.

(3) LM personnel:

- (a) Compile metadata to identify audiovisual material. This information includes:
- Subject (e.g., information content in context with other LM records)
 - Caption (including inclusive dates)
 - Name of photographer or director
 - Copyright (owner and restrictions, if any)
 - Media specifications (e.g., media type and format, image size) necessary to describe the media
 - Finding aids or source documentation (e.g., catalogs, scripts, indexes, caption lists, operator's notes, transcripts)
- (b) Route the audiovisual electronic files or physical record media to the Records Coordinators along with the associated metadata.

(4) The Records Coordinators:

- (a) Ensure sufficient metadata is submitted for each audiovisual record maintained.
- (b) Create an entry in the LM ERKS for the audiovisual record, incorporating the metadata collected. Electronic files of audiovisual records (e.g., digital photographs) are maintained in the LM ERKS. Audiovisual media (e.g., negatives, audiotapes, videotapes) are maintained in the LM Central Files.
- (c) Assign file codes to audiovisual records according to the LM File Plan.
- (d) Import the electronic file into the LM ERKS, or file the physical media in the LM Central Files.

b. Maintenance and Preservation of Audiovisual Records

Temporary electronic audiovisual files are maintained in the LM ERKS for their entire retention period. Permanent records are transferred to NARA.

The RLO and Records Coordinators:

- (1) Provide proper storage conditions for physical audiovisual media to facilitate preservation. These include:
 - (a) Maintaining original (or master) versions of audiovisual media separately from reference or working copies. Separation reduces errors when retrieving copies.
 - (b) Storing audiovisual media in the proper environment to preserve the life of the media. Storage temperatures should not exceed 70 degrees Fahrenheit, and relative humidity should be maintained between 30-40 percent and should not exceed 50 percent.
 - (c) Storing media in proper storage containers or enclosures made of non-corroding metal, inert plastics, paper products, and other safe materials recommended and specified in ANSI standards. (Example: Store original (master) copies of roll film, open-reel sound recordings, and video cassettes in archival storage containers made of polypropylene, polyethylene, or non-corroding metal.)
- (2) Carefully handle original (master) copies of audiovisual media. Avoid exposing media to rough surfaces, bare hands, and magnetic forces. Properly maintain equipment for projection or playback so audiovisual media is not damaged during playback. Follow equipment manufacturers' maintenance instructions.
- (3) Make working copies of audiovisual media when possible to fill loan requests. Copies should be correctly labeled to indicate they are not the original record.
- (4) Relocate permanent audiovisual record media to an environmentally controlled records holding area within 5 years of creation to mitigate deterioration or make arrangements for early transfer to NARA.

c. Disposition of Audiovisual Records

When processing audiovisual record media for inactive storage, Records Coordinators:

- (1) Coordinate transfer activities with the RLO (see LM Procedure 200.2-2, Processing Inactive Records).
- (2) Identify media for transfer to inactive storage and prepare media for physical relocation using appropriate storage containers.
- (3) Compile inactive media metadata from the LM ERKS. The metadata is included with audiovisual records transferred to NARA facilities (e.g., Federal Records Center, National Archives).
- (4) Arrange for shipping and receipt of transferred records.
- (5) Update LM ERKS profiles to include the inactive storage location for the media.

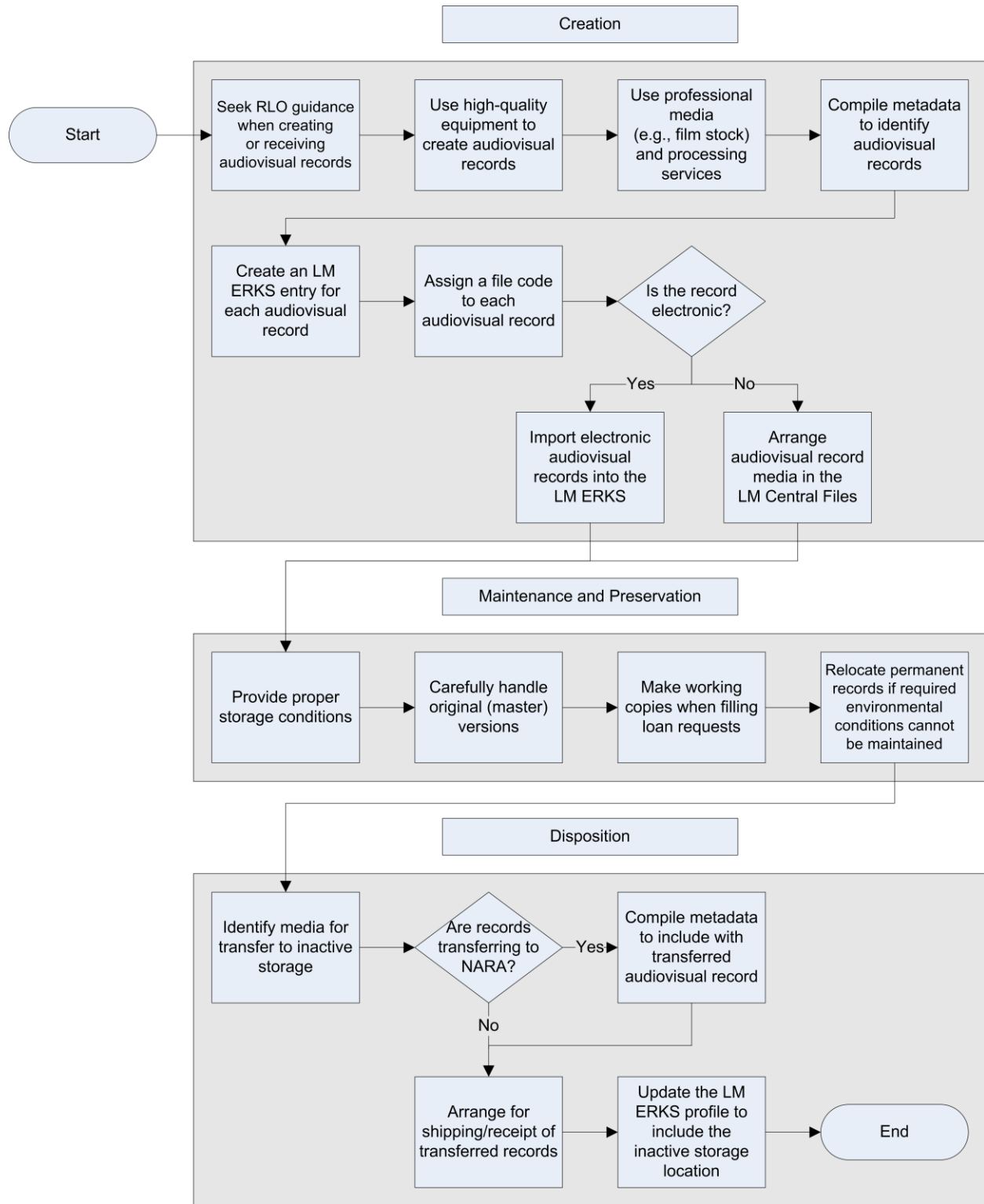
10. ATTACHMENTS.

- a. Attachment A. – Audiovisual Records Management Flowchart
- b. Attachment B. – Audiovisual Records Supplemental Information

Approved: _____
 Original signed by _____
 Director _____ Date _____
 Office of Business Operations

Distribution: As required

Attachment A. – Audiovisual Records Management Flowchart



Attachment B. – Audiovisual Records Supplemental Information

This attachment provides supplemental material and considerations for creation, maintenance, and disposition of audiovisual records.

a. General Considerations for Audiovisual Records

Separate audiovisual media with short-term retention from media with long-term retention requirements. Audiovisual requirements generally apply to audiovisual records with long-term retentions.

Do not group audiovisual record media according to format. Group media based on contents.

Immediately contact Legacy Management (LM) Safety & Health personnel when unstable film materials are identified in records storage areas. *Nitrate film*, used until the early 1950s, is highly flammable. Characteristics of unstable nitrate film are a pungent odor, a yellowish color on the film base, and stickiness. Deteriorating *cellulose-acetate film* has a strong vinegary odor, buckled film surface, and crystalline residue. Acetate film often will be labeled with “Safety Film” markings.

b. Identifying Audiovisual Records

Audio or video recordings that likely constitute audiovisual records include:

- Public service announcements;
- Training programs that explain LM functions or activities (other than those dealing with personnel or administrative matters);
- Programs produced under grants or acquired from outside sources that relate to significant aspects of LM’s work;
- Coverage of LM officials’ speeches, testimony, or media appearances; and
- Recordings or oral histories of people who participated in events that LM deems historically significant.

c. Photographs

Photographic material that likely constitutes audiovisual records include:

- Photographs, slides, or filmstrips depicting the mission, programs, significant activities, and functions of the agency;
- Official portraits of senior agency officials; and

- Photographic documentation of significant construction, rehabilitation, or reconstruction projects (e.g., major buildings).

(1) Digital photographs

Digital photographs include snapshots created in support of agency business that are produced from digital cameras and scanned images of photographic prints, slides, or negatives.

To be accepted as a permanent record by the National Archives and Records Administration (NARA), digital photograph records must meet the standards published by NARA in *Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records—Digital Photographic Records*. Permanent digital photograph requirements include:

- Files must be saved in either TIFF (.tiff or .tif) or JPEG (.jpeg, .jfif, or .jpg) format.
- New digital photographs must be captured as 6 megapixel files or greater and with pixel areas of 3,000 by 2,000 or greater. According to NARA, this digital resolution is comparable in quality to 35-mm film photographs.
- Photographs scanned into electronic files must approximate a 6 megapixel resolution. The NARA digital photograph guidance includes minimum dot per inch (dpi) settings required when scanning various photograph sizes.

Digital images housed in LM's electronic records management application are protected with security features to prevent inadvertent or deliberate alteration, in accordance with Department of Defense (DoD) Standard (STD) 5015.02-STD, Electronic Records Management Software Applications Design Criteria Standard.

(2) Film-based photographs

The preferred film media for film-based photographs is 35 mm. Negatives are preferred for long-term retention and should be adequately annotated and indexed. Negatives should be considered inactive material and should be transferred to the LM Central Files for proper protection and storage.

Store still-picture negatives in acid- and peroxide-free envelopes or sleeves.

Number photographic prints on the back edge. Use pens specially formulated for writing on negatives. Do not make annotations on the face or on the middle of the back of prints. Mark negatives and prints with the same unique number.

(3) Image limitations

Instant photographs (e.g., Polaroid images) are appropriate only for short-term use. Instant photographs deteriorate more quickly than other photographic material and should be used only as working copies.

The following digital record files are not accepted by NARA under current guidance:

- Lower-resolution images created for posting on agency web sites.
- Photographs captured within word processing, spreadsheet, and presentation applications.
- Digital photographic images such as aerial photography and satellite imagery.
- Vector-based images, such as records created using graphic arts software or computer-aided design (CAD) applications.

d. Transfer Considerations

- (1) Transfer all stable vintage film materials (e.g., nitrate film, motion pictures produced before 1951) to a storage facility with requisite environmental temperatures and humidity, or offer the materials to NARA if no longer needed.
- (2) Dispose of film materials that contain recoverable silver according to 41 Code of Federal Regulations (CFR) 101-45.10, Recovery of Precious Metals.
- (3) The following records must be transferred to NARA with the audiovisual records to which they pertain.
 - (a) Finding aids such as data sheets, shot lists, catalogs, indexes, list of captions, and other documentation helpful or necessary for the identification of audiovisual records. In general personnel must transfer two copies of the electronic finding aids: one copy in native format with the field structure documented and a second copy in a contemporary format available at the time of transfer that NARA will be able to support and import into its database.
 - (b) Production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production.

The audiovisual record also includes related production files. These files may show the existence of copyright or other proprietary rights that are

legally enforceable in subsequent use. Production files are essential documentation for professionally made film or television programs sponsored by Federal agencies. The files aid researchers in discerning the purpose and considerations of each production. Because many Government productions lack personal credits such as director, producer, or writer, the production file is an appropriate place to document this information.